

Alabama Board of Nursing



Functional Analysis & Records Disposition Authority

**Revision
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State Records Commission
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Functional and Organizational Analysis of the Alabama Board of Nursing

Sources of Information

- Representatives of the Alabama Board of Nursing
- Code of Alabama 1975 § 34-21-1 through § 34-21-8; § 34-21-20 through § 34-21-26; § 34-21-40 through § 34-21-43; § 34-21-60 through § 34-21-63; § 34-21-80 through § 34-21-93
- Code of Alabama 1975 (New Article 6) § 41-20-1 through § 41-20-16 (Sunset Law)
- Code of Alabama 1975 § 41-22-1 through § 41-22-27 (Administrative Procedures Act)
- Alabama Administrative Code Chapters 610-X-1 through 610-X-13
- Alabama Government Manual
- Alabama Board of Nursing Annual Reports
- Alabama Board of Nursing Audit Reports
- Archives Division, State Agency Files (1985-ongoing)

Historical Context

In 1915, the Legislature created the Board of Nurses Examiners to regulate the practice of nursing in Alabama (Acts of Alabama 1915, No. 207, Section 3-5). The board consisted of five members appointed by the governor. In 1939, the Board of Nurses Examiners was renamed the Board of Nurses' Examiners and Registration (Acts of Alabama 1939, No. 487, Section 1-3). While the duties of the previously authorized board remained the same, the composition of the board increased to seven members. In 1965, the Board of Nurse's Examiners and Registration was abolished. Its powers, duties, and functions were assumed by the newly created Alabama Board of Nursing (Acts of Alabama 1965, No. 867, Section 4-11).

Agency Organization

The board is composed of thirteen members appointed by the governor. Eight members of the board must be active Registered Nurses (RN), four are Licensed Practical Nurses (LPN), and one is a consumer member who should not be a member of any of the health care professions. Members serve four-year terms, with no more than two consecutive terms. Members elect a president, a vice president, and a secretary. The board meets at least four times a year to conduct business. A simple majority constitutes a quorum. The board appoints an executive officer who is responsible for the administration of the agency in accordance with the directives of the board. Other staff members are hired by the executive officer as needed.

Agency Function and Subfunctions

The mandated function of the Alabama Board of Nursing is to provide for the regulation and approval of schools of nursing and for the examination and licensing of professional and

practical nurses. The board is one of the agencies primarily involved in carrying out the Regulatory function of Alabama government.

In the performance of its mandated function, the board may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** The Code of Alabama 1975 § 34-21-2 authorizes the board to adopt and revise rules and regulations necessary to implement the Alabama Nursing Practice Act. This subfunction encompasses activities pertaining to the development of rules and regulations, including due process, procedures for licensure, standards for nursing educational programs, and other official policies needed by the board for carrying out its duties and responsibilities.

In accordance with the Code of Alabama 1975 § 34-21-80 *et seq.*, a Joint Committee of the Alabama Board of Nursing and the State Board of Medical Examiners for Advanced Practice Nurses was established to implement a collaborative agreement regarding advanced nursing practice. The joint committee is composed of two licensed physicians, one registered nurse, one licensed physician engaged in collaborative practice with a certified registered nurse practitioner or a certified nurse midwife, one certified registered nurse practitioner engaged in advanced practice nursing with a licensed physician, and one certified nurse midwife engaged in advanced practice with a licensed physician. The joint committee is charged with recommending rules and regulations to the State Board of Medical Examiners and the Alabama Board of Nursing for regulating the collaborative practice of physicians and certified nurse practitioners/certified nurse midwives.

- **Licensing.** The Code of Alabama 1975 § 34-21-21 through § 34-21-24 authorizes the board to screen and examine applicants for licensure either as a registered nurse (RN) or a licensed practical nurse (LPN) in the state. Each applicant must graduate from an accredited high school, complete all requirements for graduation from an approved educational program, and be of good moral character. All eligible applicants are certified by the board to take the National Council Licensure Examinations. If the applicant passes the examination, the board will issue a license to the applicant as a registered nurse or a licensed practical nurse. Licenses may also be issued by endorsement to applicants who have been licensed as an RN/LPN in other states/countries. In addition, the board issues temporary permits for practice to graduates of approved schools of nursing pending completion of licensure procedures and to those nurses licensed by other states who will practice in this state for less than a year.

Under the authority of the Code of Alabama 1975 § 34-21-81, the board may certify applicants who have gained additional knowledge and skills through education as certified nurse anesthetists (CRNA) or clinical nurse specialists (CNS) to practice advanced nursing. All applicants for approval to practice as certified registered nurse practitioners (CRNP) or certified nurse midwives (CNM) are reviewed and approved by the Joint Committee of the Alabama Board of Nursing and the State Board of Medical Examiners for Advanced Practice Nurses prior to licensure by the Alabama Board of

Nursing. All licensees must renew their respective licenses biennially and finish the required 24 continuing education contact hours prior to the renewal.

- **Approving Nursing Educational Programs.** In accordance with the Code of Alabama 1975 § 34-21-5, the board is responsible for surveying and approving all nursing educational programs in the state to ensure that those programs meet the standards established by the board. Prior to approval, the parent institution of a nursing educational program must submit a written application to the board for initial review. The board staff arranges for an on-site survey to verify information submitted in the application. A written survey report is considered by the board at its first meeting following the survey. If approval is granted, the program must submit annual reports and other documents deemed necessary for the board to evaluate compliance with established standards and criteria. Administrative changes, merger with other institutions, relocation of the program, or closure of the program must be considered and approved by the board. Programs must comply with the regulations to maintain approval.
- **Monitoring Impaired Nurses.** Under the provisions of the Acts of Alabama 1993 No. 183, the board has the responsibility to promote early identification, intervention, treatment, and rehabilitation of any licensed nurse whose competence is found to be impaired because of the use/abuse of drugs, alcohol, controlled substances, chemicals, or as a result of a physical/psychiatric condition rendering the person unable to meet nursing practice standards. The board implemented the Voluntary Disciplinary Alternative Program for Impaired Nurses in 1994 to provide a voluntary alternative to traditional disciplinary action. A nurse participating in the program must agree to necessary evaluations, comply with terms of treatment and the monitoring agreement, and pay all costs. At the discretion of the board staff, the participating nurse may or may not continue to practice nursing during the treatment process. Upon successful completion of the program, the participating nurse is discharged from the program.
- **Awarding Nursing Scholarships and Advanced Practice Education Loans.** Under the authority of Act 2012-262, passed in 2012, the board administers a graduate scholarship program. The law did not establish a fixed number of scholarships or amount. The scholarship awards are based on the number of graduate students admitted to Alabama programs and the number of applicants. Qualifications for scholarship include one-year residency in Alabama, admission to a master's or doctoral nursing program in Alabama for full-time study, and agreement to practice in the state for at least two years after graduation. A scholarship may be renewed for the same recipient. The appropriation for the scholarship must occur in each regular legislative session.

Alabama Act No. 2016-353 establishes the Loan Program for Advanced Practice Nursing. Loans of up to \$12,000.00 are awarded annually to applicants based on the total annual appropriation awarded by the Legislature. Qualifications for the Loan Repayment Program include proof of at least one year of residency in Alabama, a valid Alabama RN license, proof of acceptance to an accredited graduate program on a certified registered nurse practitioner (CRNP), certified nurse midwife (CNM), or certified registered nurse anesthetists (CRNA) track, and agreement to practice in an Area of Critical Need in the

state of Alabama, as defined by the Board, for a period of at least 18 months for each annual loan awarded. The appropriation Loan Repayment Program must be made from the Education Trust Fund (ETF) during each annual legislative session.

- **Investigating Complaints or Violations.** The Code of Alabama 1975 § 34-21-2(7) authorizes the board to conduct investigations, hearings, and proceedings concerning alleged violations of the rules and regulations of the board. Depending on the findings following investigation, the board may dismiss the case, make an informal disposition, or conduct a formal disciplinary proceeding. If a disciplinary proceeding is needed, the board conducts the hearing in accordance with the Alabama Administrative Procedure Act. After the hearing, the board may reprimand the licensee, place the licensee on probation, or suspend or revoke the license.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support its programmatic areas.

Managing the Agency: Activities include internal office management activities common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities include budgeting (preparing and reviewing a budget package, submitting the budget package to the Finance Department; documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; assisting in the audit process; investing; and issuing bonds.

Managing Human Resources: Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of the Alabama Board of Nursing

Agency Record Keeping System

The Alabama Board of Nursing currently operates a hybrid record keeping system composed of paper-based record keeping, imaging systems, and a computer system.

Paper-based Systems: Some of the board's records are created and maintained in paper form.

Micrographic Systems: The board microfilmed its records until 1997. Records microfilmed are generally licensure-related files grouped by activities. All microfilms have been transferred to the board's digital imaging system for preservation.

Digital Imaging System: The board purchased and installed a digital imaging system (Application Extender) in 2004 to capture and store digital images of documents. Records scanned generally include licensure files, renewals, and financial records of licensees. Over three (3) million paper and microfilmed records were converted to digital images as TIFF files. Documents are now scanned, indexed, and stored on a server specifically designed for maintaining digital images.

Appliance-Based Computer System: The board purchased a physical server to develop a virtual server environment to host its licensing system, applications, documents, host systems and the digital imaging system. These servers are backed up to a Unitrend appliance backup solution. The Unitrend appliance backs up all virtual servers to the local device and replicates changes offsite to a Unitrend data warehouse in Georgia.

Records Appraisal

The following is a discussion of the discussion of the three major categories of records created and/or maintained by the Alabama Board of Nursing: Temporary Records, Permanent Records, and Records No Longer Created.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met. Some of the temporary records created by the board are discussed below:

- **Incomplete Applicant Examination Files.** The board utilizes the incomplete files when individuals who previously applied for a license but did not complete the application process reapply. The board compares the new application against the previous incomplete one; therefore, the records should be retained a sufficient time to ensure the incomplete examination files are still available for comparison.
- **Nursing Educational Program Annual Reports.** In accordance with the Alabama Administrative Code Chapter 610-X-3-.06, the board reviews each nursing educational

program's annual report to evaluate whether the program continues to meet standards for continued approval. These are routine annual reports submitted by nursing educational programs across the state. Records should be kept until completion of audit by the Examiners of Public Accounts.

II. Permanent Records. The Archives Division recommends the following records as permanent.

Promulgating Rules and Regulations

- **Meeting Agendas, Minutes, and Packets of the Board.** The board is obligated to hold a minimum of four regular meetings each year. Information in meeting minutes may include review and approval of nursing educational programs, actions of the board on applicants, and disciplinary actions. **(Bibliographic Title: Meeting Files)**
- **Meeting Agendas, Minutes, and Packets of the Joint Committee for Advanced Practice Nurses.** These records document rules, regulations, and all changes adopted by the joint committee governing the licensure process for certified registered nurse practitioners (CRNP) or certified nurse midwives (CNM), the establishment of model practice protocols, and the development of a list of drugs that may be prescribed by advanced practice nurses. The minutes also document the review and approval process of applicants for advanced nursing practice in the state. **(Bibliographic Title: Meeting Files)**
- **Standardized Procedures.** As stipulated in the board's Administrative Code Chapter 610-X-06-.05, registered nurse/registered licensed practical nurses may perform functions beyond their basic educational preparation, provided that the functions are recognized by the board as being within the legal scope of nursing practice, and the nurse has successfully completed and organized program of study, including clinical practice. The board considers and adopts/denies standardized procedures relating to nursing practice. The standardized procedures document the board's function in guiding nursing practice. **(Bibliographic Title: Not Applicable) (Maintained by the Alabama Board of Nursing)**
- **Informational Publications.** These publications document the board's efforts in communicating with the public regarding nurse education and practice, licensure procedures, and other board related services. Publications include, but are not limited to, *The Nurse Practice Act*, *The Administrative Code*, *Alabama Non-Disciplinary Nursing Approach (Voluntary Disciplinary Alternative Program for Impaired Nurses)*, *Licensure by Examination*, and *Continuing Education: Questions and Answers for Licensees and Providers of Continuing Education*. **(Bibliographic Title: State Publications)**
- **Declaratory Rulings.** The board's Administrative Code Chapter 610-X-1-.09 provides that any person substantially impacted by a rule of the board may request relief through a declaratory ruling. The board considers and either grants or denies the requested relief.

Rulings are sent to petitioner(s) and posted on the board's website. **(Bibliographic Title: Not Applicable) (Maintained by the Alabama Board of Nursing)**

Licensing

- **Alabama Board of Nursing Licensure Files – Digitized Files and Database.** The board is responsible for examining and licensing applicants as different types of nurses. These files serve as evidence of the scope of a licensee's professional practice in this state. A typical licensure file may contain a completed application form, examination score sheet, copies of diplomas/transcripts, evidence of continuing education, and renewal documents. All licensure files from 1916 through the 1970s have been scanned and maintained in the board's digital imaging system for preservation. Paper copies are destroyed as soon as they have been scanned into the system. The digital imaging system also fulfills the requirement of the Code of Alabama 1975 § 34-21-2(11), which mandate the board to keep a register of all licenses. The board utilizes a custom-built Licensing Management System (LMS) to maintain a licensure database for all current nurses licensed after the 1970s. This series and its database are useful for genealogical research and should be retained permanently. **(Bibliographic Title: Licensure Files)**

Approving Nursing Educational Programs

- **Nursing Educational Program Approval Files.** The board prescribes standards and approves curricula for entry-level educational programs. This series documents essential data on all nursing educational programs from initial approval until closure. These records provide valuable information on the education required for licensure as a nurse. Once a nursing education program is closed, the initial approval and final closure notices as well as the last curriculum published by the program are preserved permanently. **(Bibliographic Title: Not Applicable) (Maintained by the Alabama Board of Nursing)**

Investigating Complaints or Violations

- **Disciplinary Action Files.** When the board's attorney has determined, after investigation, that a licensee violated one or more of the board's rules and/or statutes, he/she will prepare a statement of charges and proceed with a disciplinary action including formal hearings conducted by a hearing officer or draft a consent order for informal disposition of the contested case. A licensed nurse may also voluntarily surrender during an investigation and self-revoke the license. The final action of the board is documented in the orders of the board. The board recommends that the orders of the board, along with hearing officers' recommendations, be kept permanently to document the board's function of enforcement of the state's laws relating to nursing practice. **(Bibliographic Title: Not Applicable) (Maintained by the Alabama Board of Nursing)**

Administering Internal Operations

- **Annual Reports.** In compliance with the Code of Alabama 1975 § 34-21-2(12), the board prepares an annual report to the governor. Contents of the annual report may include names of the board members and the board staff, annual goals and objectives, operation reports, statistical report of nurse population and nurse education, and statement of fund operation. Annual reports provide the best summary documentation of the board's function and activities. The Archives has in its custody a copy of the first annual report issued by the Board of Nurses' Examiners in 1917. Also in the Archives' holding are copies of annual reports created by the Alabama Board of Nursing between 1983 and 2006. **(Bibliographic Title: State Publications)**
- **Historical Records.** The board has in place an internal process to trace its historical development and preserve related materials. Records in this series may include old examination questions, correspondence, bank account ledgers, handwritten licensure logs, newspaper clippings, and photographs. Most records were created between 1915 and the 1940s. **(Bibliographic Title: Historical Files)**
- **Website(s) and Social Media Sites(s).** ADAH staff capture and preserve the agency's website(s) and other social media sites via a service offered by the Internet Archive [Archive It]. Any content behind a password protected page or login would not be captured by ADAH. Check with the ADAH website at www.archive-it.org/organizations/62 to ensure your agency's website(s) and social media site(s) are captured and preserved. If your agency's website(s) and social media site(s) are not captured by the service, please contact the Archives Division at 334-242-4452 to get them included. **(Bibliographic Title: Websites and Social Media Sites)**
- **Inventory Lists.** The Code of Alabama 1975, Section 36-16-8[1] requires that "... All [state agency] property managers shall keep at all times in their files a copy of all inventories submitted to the Property Inventory Control Division, and the copies shall be subject to examination by any and all state auditors or employees of the Department of Examiners of Public Accounts." These files need to be maintained in the agency's office. **(Bibliographic Title: Not Applicable) (Maintained by the Alabama Board of Nursing)**

III. Records No Longer Created. The following records were created by the agency over time, but are no longer created.

- **Committees/Task Forces Files.** In previous years, the board established and utilized several internal committees and task forces to facilitate the conduct of board business. Membership of each committee/task force consisted of board members and staff. Various matters or issues were assigned to committees/task forces for investigation, review, and evaluation. In 2003, the board began meeting in work sessions as a "committee of the whole." The board does not take action during work sessions, but minutes are maintained since discussion of issues is thorough. Since all recommendations and final decisions are

documented in the meeting minutes of the board, the committees/ task forces files should only be kept until 1 year after audit by the Examiners of Public Accounts.

- **Newsletters.** The board published a quarterly newsletter until 2001. The newsletter provided recipients with information regarding nursing regulation, practice, and education issues addressed by the board; board meeting dates, disciplinary actions, listing of providers of continuing education, and questions and answers. The Archives has copies of newsletters dating back to 1972. **(Bibliographic Title: Newsletters)**

Accessibility of Records

In accordance with Code of Alabama 1975 § 34-21-25(6), all individual records relating to the Voluntary Disciplinary Alternative Program for Impaired Nurses treatment program are not subject to public disclosure or court subpoena. The records of a licensee who fails to comply with the program agreement or who leaves the state prior to the completion of the program are not considered confidential.

Permanent Records List Alabama Board of Nursing

Promulgating Rules and Regulations

1. Meeting Agendas, Minutes, and Packets of the Board
2. Meeting Agendas, Minutes, and Packets of the Joint Committee for Advanced Practice Nurses
3. Standardized Procedures*
4. Informational Publications
5. Declaratory Rulings*

Licensing

1. Alabama Board of Nursing Licensure Files – Digitized Files and Database

Approving Nursing Educational Programs

1. Nursing Educational Program Approval Files*

Investigating Complaints or Violations

1. Disciplinary Action Files*

Administering Office Operations

1. Annual Reports
2. Historical Records
3. Website(s) and Social Media Site(s)
4. Inventory Lists*

Records No Longer Created

1. Newsletters

*indicates records that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

Alabama Board of Nursing Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Archives Division, Alabama Department of Archives and History (ADAH), which serves as the Commission's staff, in cooperation with representatives of the Agency. The RDA lists records created and maintained by the Agency in carrying out their mandated functions and activities. It establishes minimum retention periods and disposition instructions for those records and provides the legal authority for the Agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Archives Division at (334) 242-4452.

Explanation of Records Requirements

- The RDA shall govern the disposition of all records, regardless of format, created by the agency from creation to dissolution. Please contact the staff of the Department of Archives and History before destroying any records created prior to 1940.
- This RDA supersedes any previous records disposition schedules or RDAs governing the retention of the records created by the Agency. Copies of superseded schedules are no longer valid and may not be used for records disposition.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials,

plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Agency and lists the groups of records created and/or maintained as a result of activities and transactions performed in carrying out these subfunctions. The Agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular biannual meetings.

Promulgating Rules and Regulations

MEETING AGENDAS, MINUTES AND PACKETS OF THE BOARD

Disposition: PERMANENT RECORD.

MEETING AGENDAS, MINUTES, AND PACKETS OF THE JOINT COMMITTEE FOR ADVANCED PRACTICE NURSES

Disposition: PERMANENT RECORD.

Recordings of Meetings

Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

STANDARDIZED PROCEDURES

Disposition: PERMANENT RECORD. Retain in office.

INFORMATIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

DECLARATORY RULINGS

Disposition: PERMANENT RECORD. Retain in office.

Licensing

Alabama Board of Nursing Licensure Files

a. DIGITIZED FILES AND DATABASE

Disposition: PERMANENT RECORD.

b. Paper Files

Disposition: Temporary Record. Retain until the completion and verification of the digitized copy.

Temporary Permit Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the permit is expired.

Incomplete Applicant Examination Files

Disposition: Temporary Record. Retain 20 years after the end of the fiscal year in which the records were created.

Annual Reports of Licensees' Employing Agencies

Disposition: Temporary Record. Retain 2 years.

Approving Continuing Education Program Provider Files

Disposition: Temporary Record. Retain 4 years after the end of the fiscal year in which the provider approval is no longer effective.

Approving Nursing Educational Programs**NURSING EDUCATIONAL PROGRAM APPROVAL FILES**

Disposition: PERMANENT RECORD. Retain in office.

Nursing Educational Program Annual Reports

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Monitoring Impaired Nurses**Voluntary Disciplinary Alternative Program for Impaired Nurse Files**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the licensee is deceased.

Awarding Nursing Scholarships and Advanced Practice Education Loans**Nursing Scholarship Recipient Files**

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the recipient completed the required study.

Advanced Practice Education Loan Files

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the recipient completed the required employment.

Investigating Complaints or Violations**DISCIPLINARY ACTION FILES**

Disposition: PERMANENT RECORD. Retain in office.

Disciplinary Files Not Resulting in Formal Disciplinary Actions

Disposition: Temporary Record. Retain 10 years.

Probationary Files

Disposition: Temporary Record. Retain 2 years after the end of the fiscal year in which the probationary period is completed.

Administering Internal Operations: Managing the Agency**ANNUAL REPORTS**

Disposition: PERMANENT RECORD.

HISTORICAL RECORDS

Disposition: PERMANENT RECORD.

WEBSITE(S) AND SOCIAL MEDIA SITE(S)

Disposition: PERMANENT RECORD.

(ADAH staff capture and preserve the agency's website(s) and other social media sites via a service offered by the Internet Archive [Archive It]. Any content behind a password protected page or login would not be captured by ADAH. Check with the ADAH website at www.archive-it.org/organizations/62 to ensure your agency's website(s) and social media site(s) are captured and preserved. If your agency's website(s) and social media site(s) are not captured by the service, please contact the Government Services Division at 334-242-4452 to get them included.)

NEWSLETTERS (No Longer Created)

Disposition: PERMANENT RECORD.

Board Member Files

Disposition: Temporary Record. Retain 5 years after the end of the term.

Committees/Task Forces Files (No Longer Created)

Disposition: Temporary Record. Retain 1 year after audit.

Routine Correspondence/Memoranda

Disposition: Temporary Record. Retain 3 years.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Records' documenting the implementation of the board's approved RDA (copies of transmittal forms to the Archives and/or the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 1 year after audit.

Printouts of acknowledgment from the Secretary of State relating to notices of meetings posted by state agencies.

Disposition: Temporary Record. Retain 1 year after audit.

Copies of RDA

Disposition: Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the RDA is superseded.

System Documentation (hardware/software specifications and warranties)

Disposition: Temporary Record. Retain documentation of former system 1 year after audit for the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

Administering Internal Operations: Managing Finances**Records documenting the preparation of a budget package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance.**

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products.

Disposition: Temporary Record. Retain 1 year after audit.

Records of original entry such as journals, registers, and ledgers; and records of funds deposited outside the state treasury

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting requests for authorization from supervisors to travel on official business either within or outside the state, and other related materials, such as travel reimbursement forms

Disposition: Temporary Record. Retain 1 year after audit.

Contractual records established for the purpose of services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses

- a. Original bid records maintained in the purchasing office of the agency for contracts over \$15,000.00

Disposition: Temporary Record. Retain 7 years after end of the fiscal year in which the bids were opened.

- b. Duplicate copies of bid (originals are maintained by the Finance Department - Division of Purchasing)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Agency Audit Reports

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Administering Internal Operations: Managing Human Resources**Job Recruitment Materials**

Disposition: Temporary Record. Retain 1 year after audit.

Position Classification Files

Disposition: Temporary Record. Retain 4 years after position is reclassified.

Application Materials

Disposition: Temporary Record. Retain 1 year.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting payroll deductions for tax purposes (including Form 941)

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting an employee's work history – generally maintained as a case file

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Records documenting employees' daily and weekly work schedules

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting employee disciplinary actions (reprimands, demotions, transfers, terminations, appeals, and administrative hearings)

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting sick leave donations

Disposition: Temporary Record. Retain 1 year after audit.

Employee Flexible Benefits Plan Files

- a. General information

Disposition: Temporary Record. Retain until superseded.

- b. Other (applications, correspondence)

Disposition: Temporary Record. Retain 6 years after termination of participation in program.

State Employee Injury Compensation Trust Fund Files

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Equal Employment Opportunity Commission Case Files

Disposition: Temporary Record. Retain 3 years.

Administering Internal Operations: Managing Properties, Facilities, and Resources

SEMIANNUAL INVENTORY LISTS

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 36-16-8[1]).

Transfer of State Property Forms (SD-1) (Agency copies)

Disposition: Temporary Record. Retain 1 year after audit.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 1 year after audit.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Real Property Leasing/Renting Records

Disposition: Temporary Record. Retain 6 years after expiration of the lease.

Motor Pool Vehicle Use Records

Disposition: Temporary Record. Retain 1 year after audit.

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 6 years after the termination of policy or membership.

Building Maintenance Work Orders

Disposition: Temporary Record. Retain 1 year.

Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)

Requirement

Under the Code of Alabama 1975 § 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Agency as stipulated in this document.

One condition of this authorization is that the Agency submit an annual Records Disposition Authority (RDA) Implementation Report on its activities, including documentation of records destruction, to the State Records Commission.

Recommendations

In addition, the Agency should make every effort to establish and maintain a quality record-keeping program by conducting the following activities:

The Agency should designate a staff member in a managerial position as its records liaison/records manager, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.

Permanent records in the Agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.

Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the Open Meetings Act, audit requirements, or any legal notice or subpoena.

The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.

Electronic mail contains permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the

office should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.

The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the Agency and inspect records destruction documentation. Agency records managers and/or the ADAH archivists are available to instruct the staff in RDA implementation and otherwise assist the Agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on May 24, 2017.

Steve Murray, Chairman
State Records Commission

Date

By signing below, the agency acknowledges receipt of the retention periods and requirements established by the records disposition authority.

Peggy S. Benson, Executive Officer
Alabama Board of Nursing

Date